

# Notice of Allowability

Application No.

09/289,550

Examiner

Charles Kyle

Applicant(s)

FRIESEN ET AL.

Art Unit

3624

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address--

All claims being allowable, PROSECUTION ON THE MERITS IS (OR REMAINS) CLOSED in this application. If not included herewith (or previously mailed), a Notice of Allowance (PTOL-85) or other appropriate communication will be mailed in due course. **THIS NOTICE OF ALLOWABILITY IS NOT A GRANT OF PATENT RIGHTS.** This application is subject to withdrawal from issue at the initiative of the Office or upon petition by the applicant. See 37 CFR 1.313 and MPEP 1308.

1. ☒ This communication is responsive to the communication of 28 February 2006.
2. ☒ The allowed claim(s) is/are 1,2,4,10-12,16,18,28,61-86.
3. ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
  - a) ☐ All    b) ☐ Some\*    c) ☐ None    of the:
    1. ☐ Certified copies of the priority documents have been received.
    2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
    3. ☐ Copies of the certified copies of the priority documents have been received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

\* Certified copies not received: \_\_\_\_\_.

Applicant has THREE MONTHS FROM THE "MAILING DATE" of this communication to file a reply complying with the requirements noted below. Failure to timely comply will result in ABANDONMENT of this application.  
**THIS THREE-MONTH PERIOD IS NOT EXTENDABLE.**

4. ☐ A SUBSTITUTE OATH OR DECLARATION must be submitted. Note the attached EXAMINER'S AMENDMENT or NOTICE OF INFORMAL PATENT APPLICATION (PTO-152) which gives reason(s) why the oath or declaration is deficient.
  5. ☐ CORRECTED DRAWINGS (as "replacement sheets") must be submitted.
    - (a) ☐ including changes required by the Notice of Draftsperson's Patent Drawing Review (PTO-948) attached
      - 1) ☐ hereto or 2) ☐ to Paper No./Mail Date \_\_\_\_\_.
    - (b) ☐ including changes required by the attached Examiner's Amendment / Comment or in the Office action of Paper No./Mail Date \_\_\_\_\_.
- Identifying indicia such as the application number (see 37 CFR 1.84(c)) should be written on the drawings in the front (not the back) of each sheet. Replacement sheet(s) should be labeled as such in the header according to 37 CFR 1.121(d).
6. ☐ DEPOSIT OF and/or INFORMATION about the deposit of BIOLOGICAL MATERIAL must be submitted. Note the attached Examiner's comment regarding REQUIREMENT FOR THE DEPOSIT OF BIOLOGICAL MATERIAL.

## Attachment(s)

1. ☒ Notice of References Cited (PTO-892)
2. ☒ Notice of Draftsperson's Patent Drawing Review (PTO-948)
3. ☒ Information Disclosure Statements (PTO-1449 or PTO/SB/08),  
Paper No./Mail Date 5/24/99, 6/21/05, 11/10/03
4. ☐ Examiner's Comment Regarding Requirement for Deposit of Biological Material
5. ☐ Notice of Informal Patent Application (PTO-152)
6. ☐ Interview Summary (PTO-413),  
Paper No./Mail Date \_\_\_\_\_
7. ☒ Examiner's Amendment/Comment
8. ☒ Examiner's Statement of Reasons for Allowance
9. ☐ Other \_\_\_\_\_

Primary Examiner  
Charles Kyle

Art Unit: 3624

***Allowable Subject Matter***

Claims 1,2,4,10-12,16,18,28,61-86 are allowed.

The following is an examiner's statement of reasons for allowance for Claims 1,2,4,10-12,16,18,28,61-86: The best prior art of record, *Silverman* neither discloses nor fairly suggests the limitations of displaying a plurality of order indicators of bid and offer types along a first scaled axis of price, receiving market information representing new orders to sell or buy quantities of items for a specified price, generating new bid or offer indicators in response to the market information and placing the new indicators along a first scaled axis of price, displaying an order icon, selecting the order icon with a pointer and moving it to a location associated with a new price and sending an order associated with the order icon to an electronic trading exchange, the order having parameters of quantity and price corresponding to the location at which the order icon was moved.

The prior art references show some elements of the claimed invention but could not reasonably combined to reject the presented claims.

The drawings are unacceptable as presented. Please see the enclosed PTOL-948.

***Conclusion***

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Art Unit: 3624

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Charles Kyle whose telephone number is (571) 272-6746.

The examiner can normally be reached on 6:30 to 3:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin can be reached on (571) 272-6747. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

crk  
April 18, 2006

**Primary Examiner**  
**Charles Kyle**  
**Art Unit 3624**

A handwritten signature in cursive script, appearing to read "Charles Kyle", written in black ink.

Art Unit: 3624

*Examiner's Amendment*

An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with Mark Triplett on 18 April 2006.

1. A computer based method for facilitating the placement of an order for an item and for displaying transactional information to a user regarding the buying and selling of items in a system where orders comprise a bid type or an offer type, and an order is generated for a quantity of the item at a specific value, the method comprising:

displaying a plurality of bid indicators, each corresponding to at least one bid for a quantity of the item, each bid indicator at a location along a first scaled axis of ~~values~~ prices corresponding to a ~~value~~ price associated with the at least one bid;

displaying a plurality of offer indicators, each corresponding to at least one offer for a quantity of the item, each offer indicator at a location along the first scaled axis of ~~values~~ prices corresponding to a ~~value~~ price associated with the at least one offer;

receiving market information representing a new order to buy a quantity of the item for a specified price, and in response to the received market information, generating a bid indicator that corresponds to the quantity of the item bid for and placing the bid indicator along the first scaled axis of prices corresponding to the specified price of the bid;

receiving market information representing a new order to sell a quantity of the item for a specified price, and in response to the received market information, generating an offer indicator that corresponds to the quantity of the item for which the offer is made

Art Unit: 3624

and placing the offer indicator along the first scaled axis of prices corresponding to the specified price of the offer;

displaying an order icon associated with an order by the user for a particular quantity of the item; ~~and~~

~~in response to a user initiated command,~~ selecting the order icon and moving the order icon with a pointer of a user input device to a location associated with a value price along the first scaled axis of values prices; and

sending an order associated with the order icon to an electronic trading exchange, wherein the order is of a bid type or an offer type and the order has a plurality of order parameters comprising the particular quantity of the item and the price corresponding to the location at which the order icon was moved.

2. The method of claim 1 wherein the order icon is adjustable by the user to reflect the quantity of the order.

3. (Cancelled)

4. The method of claim 1 further comprising:

receiving a request for an order responsive to a user action specifying a quantity of the item and ~~value price~~ value price for the order.

5-9. (Cancelled)

10. The method of claim 1 further comprising:

displaying the order icon placed by the user with a first visual characteristic; and  
displaying the bid and offer indicators corresponding to orders placed by other users with a second visual characteristic.

11. The method of claim 1 further comprising:

displaying each of the plurality of bid and offer indicators having an edge which

Art Unit: 3624

is angled toward the first scaled axis of values.

12. The method of claim 1 ~~further comprising:~~

~~receiving market information representing a new order to buy a quantity of the item for a specified value;~~

~~wherein the bid indicator is generated such that a size of the bid indicator in response to the received market information, generating a bid indicator whose size corresponds to the quantity of the item bid for.; and~~

~~placing the bid indicator at a location along the first scaled axis of values corresponding to the specified value of the bid.~~

13-15. (Cancelled)

16. The method of claim 1 ~~further comprising:~~

~~receiving market information representing a new order to sell a quantity of the item for a specified value;~~

~~wherein the offer indicator is generated such that a size of the offer indicator in response to the received market information, generating an offer indicator whose size corresponds to the quantity of the item for which the offer is made.; and~~

~~placing the offer indicator at a location along the first scaled axis of values corresponding to the specified value of the offer.~~

17. (Cancelled)

18. The method of claim 1 further comprising:

generating a second axis, perpendicular to the first scaled axis of prices values, representing time;

generating a third axis, perpendicular to the second axis, representing value; and displaying a historical chart representing values of the item responsive to time and value with respect to the second and third axes.

Art Unit: 3624

19-27. (Cancelled)

28. The method of claim 1 further comprising:  
displaying a plurality of order tokens having different values;  
receiving a selection for an order token; and  
moving the order token to a user specified location with respect to the first scaled axis  
of ~~values~~ prices which corresponds to the desired price ~~value~~;  
thereby enabling placing of the order in accordance with the desired price ~~value~~.

29-60. (Cancelled)

61. The method of claim 1 further comprising visually distinguishing bid indicators  
from offer indicators.

62. The method of claim 1 further comprising visually distinguishing the order icon  
from the plurality of bid and offer indicators.

63. The method of claim 1 further comprising displaying a marker representing a  
value of interest at a location associated with a price ~~value~~ on the first scaled axis of  
prices ~~values~~.

64. The method of claim 63 wherein the location at which the marker is displayed is  
updated dynamically.

65. The method of claim 1 wherein the user initiated command comprises selecting  
the order icon using a pointer device and dragging the order icon to the location.

66. The method of claim 1 further comprising modifying the order icon based on a  
transaction.

Art Unit: 3624

67. The method of claim 1 wherein the size of the order icon is associated with the quantity of the order.

68. The method of claim 1 wherein the prices ~~values~~ on the first scaled axis of prices ~~values represent~~ are based on a price for the item.

69. The method of claim 1 wherein the item comprises a commodity.

70. The method of claim 63 wherein the marker comprises a line.

71. The method of claim 1 wherein the prices ~~values~~ on the first scaled axis of prices ~~values represent~~ a qualitative measure ~~other than price~~.

72. The method of claim 71 wherein the qualitative measure represents a derivative of price.

73. The method of claim 72 wherein the derivative of price is an interest rate, a bond cost, an implied interest rate, or implied volatility of the item.

74. The method of claim 71 wherein the qualitative measure represents any metric by which an item can be valued.

75. The method of claim 71 wherein different qualitative measures can be chosen by the user.

76. The method of claim 71 further comprising receiving a command to select a new qualitative measure and updating the display of the plurality of bid indicators and the plurality of offer indicators to locations along the first scaled axis of prices ~~values~~ corresponding to prices ~~values~~ associated with the new qualitative measure.



Art Unit: 3624

77. The method of claim 1 wherein the bid indicator displays the quantity of the item associated with the bid and the offer indicator displays the quantity of the item associated with the offer.

78. The method of claim 1 wherein the order icon displays the quantity of the order placed by the user.

79. The method of claim 1 further comprising displaying contextual data along with the plurality of bid and offer indicators.

80. The method of claim 79 wherein the contextual data is displayed as a historical chart along the first scaled axis of values.

81. The method of claim 79 wherein the contextual data is displayed as a volume graph.

82. The method of claim 79 wherein the contextual data indicates the high and low values of the item for a period of time.

83. The method of claim 1 wherein the first scaled axis of prices is graduated in intervals such that each interval represents a particular price value.

84. The method of claim 1 further comprising the step of displaying the prices values along the first scaled axis of prices value.

85. The method of claim 1 wherein the each of plurality of bid and offer indicators are graphically represented to the user as icons.

Art Unit: 3624

86. A computer readable medium having program code recorded thereon for execution on a computer for displaying transactional information to a user regarding the buying and selling of items in a system where orders comprise a bid type or an offer type, and an order is generated for a quantity of an item at a specific value, the method comprising:

a first program code for displaying a plurality of bid indicators, each corresponding to at least one bid for a quantity of the item, each bid indicator at a location along a first scaled axis of prices ~~values~~ corresponding to a price ~~value~~ associated with the at least one bid;

a second program code for displaying a plurality of offer indicators, each corresponding to at least one offer for a quantity of the item, each offer indicator at a location along the first scaled axis of prices ~~values~~ corresponding to a price ~~value~~ associated with the at least one offer;

a third program code for receiving market information representing a new order to buy a quantity of the item for a specified price, and in response to the received market information, generating a bid indicator that corresponds to the quantity of the item bid for and placing the bid indicator along the first scaled axis of prices corresponding to the specified price of the bid;

a fourth program code for receiving market information representing a new order to sell a quantity of the item for a specified price, and in response to the received market information, generating an offer indicator that corresponds to the quantity of the item for which the offer is made and placing the offer indicator along the first scaled axis of prices corresponding to the specified price of the offer;

a ~~third~~ fifth program code for displaying an order icon associated with an order by the user for a particular quantity of the item; and

a ~~fourth~~ sixth program code for ~~, in response to a user-initiated command,~~ selecting the order icon and moving the order icon with a pointer of a user input device to a location associated with a value ~~price~~ along the first scaled axis of values ~~prices~~; and

a seventh program code for sending an order associated with the order icon to an electronic trading exchange, wherein the order is of a bid type or an offer type and the

Art Unit: 3624

order has a plurality of order parameters comprising the particular quantity of the item and the price corresponding to the location at which the order icon was moved.

87-98. (Cancelled)

**09/289,550 Clean Version**

1. A computer based method for facilitating the placement of an order for an item and for displaying transactional information to a user regarding the buying and selling of items in a system where orders comprise a bid type or an offer type, and an order is generated for a quantity of the item at a specific value, the method comprising:

displaying a plurality of bid indicators, each corresponding to at least one bid for a quantity of the item, each bid indicator at a location along a first scaled axis of prices corresponding to a price associated with the at least one bid;

displaying a plurality of offer indicators, each corresponding to at least one offer for a quantity of the item, each offer indicator at a location along the first scaled axis of prices corresponding to a price associated with the at least one offer;

receiving market information representing a new order to buy a quantity of the item for a specified price, and in response to the received market information, generating a bid indicator that corresponds to the quantity of the item bid for and placing the bid indicator along the first scaled axis of prices corresponding to the specified price of the bid;

receiving market information representing a new order to sell a quantity of the item for a specified price, and in response to the received market information, generating an offer indicator that corresponds to the quantity of the item for which the offer is made and placing the offer indicator along the first scaled axis of prices corresponding to the specified price of the offer;

displaying an order icon associated with an order by the user for a particular quantity of the item;

selecting the order icon and moving the order icon with a pointer of a user input device to a location associated with a price along the first scaled axis of prices; and

sending an order associated with the order icon to an electronic trading exchange, wherein the order is of a bid type or an offer type and the order has a plurality of order parameters comprising the particular quantity of the item and the price corresponding to the location at which the order icon was moved.

2. The method of claim 1 wherein the order icon is adjustable by the user to reflect the quantity of the order.
4. The method of claim 1 further comprising:  
receiving a request for an order responsive to a user action specifying a quantity of the item and price for the order.
10. The method of claim 1 further comprising:  
displaying the order icon placed by the user with a first visual characteristic; and  
displaying the bid and offer indicators corresponding to orders placed by other users with a second visual characteristic.
11. The method of claim 1 further comprising:  
displaying each of the plurality of bid and offer indicators having an edge which is angled toward the first scaled axis of values.
12. The method of claim 1 wherein the bid indicator is generated such that a size of the bid indicator corresponds to the quantity of the item bid for.
16. The method of claim 1 wherein the offer indicator is generated such that a size of the offer indicator corresponds to the quantity of the item for which the offer is made.
18. The method of claim 1 further comprising:  
generating a second axis, perpendicular to the first scaled axis of prices, representing time;  
generating a third axis, perpendicular to the second axis, representing value; and  
displaying a historical chart representing values of the item responsive to time and value with respect to the second and third axes.

28. The method of claim 1 further comprising:  
displaying a plurality of order tokens having different values;  
receiving a selection for an order token; and  
moving the order token to a user specified location with respect to the first scaled axis of prices which corresponds to the desired price;  
thereby enabling placing of the order in accordance with the desired price.
61. The method of claim 1 further comprising visually distinguishing bid indicators from offer indicators.
62. The method of claim 1 further comprising visually distinguishing the order icon from the plurality of bid and offer indicators.
63. The method of claim 1 further comprising displaying a marker representing a value of interest at a location associated with a price on the first scaled axis of prices.
64. The method of claim 63 wherein the location at which the marker is displayed is updated dynamically.
65. The method of claim 1 wherein the user initiated command comprises selecting the order icon using a pointer device and dragging the order icon to the location.
66. The method of claim 1 further comprising modifying the order icon based on a transaction.
67. The method of claim 1 wherein the size of the order icon is associated with the quantity of the order.

68. The method of claim 1 wherein the prices on the first scaled axis of prices are based on a price for the item.
69. The method of claim 1 wherein the item comprises a commodity.
70. The method of claim 63 wherein the marker comprises a line.
71. The method of claim 1 wherein the prices on the first scaled axis of prices represent a qualitative measure.
72. The method of claim 71 wherein the qualitative measure represents a derivative of price.
73. The method of claim 72 wherein the derivative of price is an interest rate, a bond cost, an implied interest rate, or implied volatility of the item.
74. The method of claim 71 wherein the qualitative measure represents any metric by which an item can be valued.
75. The method of claim 71 wherein different qualitative measures can be chosen by the user.
76. The method of claim 71 further comprising receiving a command to select a new qualitative measure and updating the display of the plurality of bid indicators and the plurality of offer indicators to locations along the first scaled axis of prices corresponding to prices associated with the new qualitative measure.
77. The method of claim 1 wherein the bid indicator displays the quantity of the item associated with the bid and the offer indicator displays the quantity of the item associated with the offer.

78. The method of claim 1 wherein the order icon displays the quantity of the order placed by the user.

79. The method of claim 1 further comprising displaying contextual data along with the plurality of bid and offer indicators.

80. The method of claim 79 wherein the contextual data is displayed as a historical chart along the first scaled axis of values.

81. The method of claim 79 wherein the contextual data is displayed as a volume graph.

82. The method of claim 79 wherein the contextual data indicates the high and low values of the item for a period of time.

83. The method of claim 1 wherein the first scaled axis of prices is graduated in intervals such that each interval represents a particular price.

84. The method of claim 1 further comprising the step of displaying the prices along the first scaled axis of prices.

85. The method of claim 1 wherein the each of plurality of bid and offer indicators are graphically represented to the user as icons.

86. A computer readable medium having program code recorded thereon for execution on a computer for displaying transactional information to a user regarding the buying and selling of items in a system where orders comprise a bid type or an offer type, and an order is generated for a quantity of an item at a specific value, the method comprising:



a first program code for displaying a plurality of bid indicators, each corresponding to at least one bid for a quantity of the item, each bid indicator at a location along a first scaled axis of prices corresponding to a price associated with the at least one bid;

a second program code for displaying a plurality of offer indicators, each corresponding to at least one offer for a quantity of the item, each offer indicator at a location along the first scaled axis of prices corresponding to a price associated with the at least one offer;

a third program code for receiving market information representing a new order to buy a quantity of the item for a specified price, and in response to the received market information, generating a bid indicator that corresponds to the quantity of the item bid for and placing the bid indicator along the first scaled axis of prices corresponding to the specified price of the bid;

a fourth program code for receiving market information representing a new order to sell a quantity of the item for a specified price, and in response to the received market information, generating an offer indicator that corresponds to the quantity of the item for which the offer is made and placing the offer indicator along the first scaled axis of prices corresponding to the specified price of the offer;

a fifth program code for displaying an order icon associated with an order by the user for a particular quantity of the item;

a sixth program code for selecting the order icon and moving the order icon with a pointer of a user input device to a location associated with a price along the first scaled axis of prices; and

a seventh program code for sending an order associated with the order icon to an electronic trading exchange, wherein the order is of a bid type or an offer type and the order has a plurality of order parameters comprising the particular quantity of the item and the price corresponding to the location at which the order icon was moved.